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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/823,491	03/31/2001	James W. Edwards	042390.P10503

CONFIRMATION NO. 6546

## FORMALITIES LETTER



\*OC000000006146581\*

Michael A. DeSanctis  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
Seventh Floor  
12400 Wilshire Boulevard  
Los Angeles, CA 90025-1026

Date Mailed: 06/05/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/08/2001 EABUBAK1 00000002 09823491

01 FC:105

130.00 OP



85567

PTO/SB/17(11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$130.00

Complete if Known:

Application No. 09/823,491

Filing Date March 31, 2001

First Named Inventor Edwards et al.

Group Art Unit Not yet assigned

Examiner Name Not yet assigned

Attorney Docket No. 042390P10503

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name \_\_\_\_\_

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR 1.27

FIRST CLASS CERTIFICATE OF MAILING  
(37 C.F.R. § 1.8 (a))

2. ☒ Payment Enclosed: ☒

Check

Credit Card

Money Order

Other

I hereby certify that this correspondence is by  
United States Postal Service as first class mail  
in an envelope addressed to the Assistant Commissioner  
Washington, DC 20231.

On

July 31, 2001

Date of Deposit

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity	
Fee Code	Fee (\$)	Fee Code	Fee (\$)
101	710	201	355
106	320	206	160
107	490	207	245
108	710	208	355
114	150	214	75

#### Fee Description

Utility application filing fee

Design application filing fee

Plant filing fee

Reissue filing fee

Provisional application filing fee

Fee Paid

SUBTOTAL (1) \$ 0.00

#### 2. EXTRA CLAIM FEES

		Extra Claims	Fee from below	Fee Paid
Total Claims	_____	- 20** = _____	X 18.00	= _____
Independent Claims	_____	- 3** = _____	X 80.00	= _____
Multiple Dependent	_____			= _____

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity	
Fee Code	Fee (\$)	Fee Code	Fee (\$)
103	18	203	9
102	80	202	40
104	270	204	135
109	80	209	40
110	18	210	9

#### Fee Description

Claims in excess of 20

Independent claims in excess of 3

Multiple dependent claim, if not paid

\*\*Reissue independent claims over original patent

\*\*Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 0.00

### FEE CALCULATION (continued)

Application No.: 09/823,491

Attorney Docket No.: 42390P10503

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	\$130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					
Other fee (specify) _____					

**SUBTOTAL (3) \$130.00**

\*Reduced by Basic Filing Fee Paid

#### SUBMITTED BY:

Typed or Printed Name: Michael A DeSanctis  
 Signature:  Date: 7/31/01  
 Reg. Number: 39,957 Telephone Number: 303-740-1980

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Our Docket No: 42390P10503

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Edwards et al.

Application No.: 09/823,491

Filed: March 31, 2001

For: Countering Buffer Overrun Security  
Vulnerabilities In A CPU

Examiner: Not Yet Assigned

Art Unit: Not Yet Assigned

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
(FILING DATE GRANTED)

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing parts of Application (Filing Date Granted) mailed  
June 5, 2001, please find enclosed:

- (1) a duly executed Declaration and Power of Attorney with respect to the  
above-referenced patent application;
- (2) a check in the amount of \$130.00 in payment of the surcharge of 37 C.F.R. § 1.16(e);
- (3) a copy of the Notice to File Missing Parts of Application.

FIRST CLASS CERTIFICATE OF MAILING  
(37 C.F.R. § 1.8 (a))  
I hereby certify that this correspondence is being  
mailed by the United States Postal Service as first class mail  
in an envelope addressed to the Assistant Commissioner for Patents  
Washington, DC 20231.

On

July 31, 2001

Date of Deposit

Name of Person Mailing Correspondence

Krista Mathieson

Signature

Date

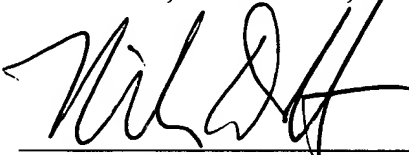
Docket No.: 42390P10503  
Application No.: 09/823,491

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 7/31/01



Michael Anthony DeSanctis  
Reg. No. 39,957

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